



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/766,675

01/27/2004

Laurence Hubert

D/99398QC

3040

7590 08/09/2007  
Patent Documentation Center  
Xerox Corporation  
Xerox Square 20th Floor  
100 Clinton Ave. S.  
Rochester, NY 14644

EXAMINER

NGUYEN, MAIKHANH

ART UNIT

PAPER NUMBER

2176

MAIL DATE

DELIVERY MODE

08/09/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/766,675

Applicant(s)

HUBERT ET AL.

Examiner

Maikhanh Nguyen

Art Unit

2176

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 18 May 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-16 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

1. This action is responsive to the RCE filed 05/18/2007 to the original application filed 01/21/2000.

Claims 1-16 are currently pending in this application. Claims 1, 6, and 11 have been amended. Claims 1, 6, and 11 are independent claims.

### **Request Continuation for Examination**

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 05/18/2007 has been entered.

### **Rejections - 35 USC § 102**

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

Art Unit: 2176

A person shall be entitled to a patent unless -

*(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for the purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language; or " (Emphasis added.)*

Claims 1-5 are rejected under 35 U.S.C. 102(e) as being anticipated by **Cohen et al.** (US 20030167281, filed January 10, 2003, priority date: September 14, 1999).

**As to claim 1:**

Cohen teaches a computer-readable storage medium encoded with data for processing by a data processing system (*see Abstract*), the data comprising:

- a meta-document (*e.g., The document objects 28 contain application data as well as meta-data*) for tracking (*e.g., tracking the history of the document*) and storing all information pertaining to actions performed by an application program on a document (*e.g., document storage and workflow / stores actions performed on the document*) comprising document information during its entire lifetime [*see ¶¶ 0021-0022, 0036 – 0040 and 0059*];
- an object conveying document information (*e.g., data ... distributes documents as they are revised, and facilitates communication among client; see ¶ 0022*);

Art Unit: 2176

- processing information (e.g., *accessible through various application programs 32 residing on and executable by the client 12 ... retrieves data from the task; see ¶ 0037*); and
- metadata (e.g., *meta-data*) for indexing (e.g., *indexes*) and retrieving (*retrieves*) and processing information (*see ¶¶ 0036, 0037, and 0055*);

wherein the processing information (e.g., *The documents 28 are accessible through various application programs*) comprises all information pertaining to each time the meta-document is processed by an application program being executed by the data processing system during the entire life of the meta-document (*see ¶¶ 0036-0038 and 0048*), the processing information being stored on the meta-document each time the meta-document is processed (e.g., *Another collaborative tool accessible to the client is the document history file ... view and manipulate the history of the document and view and manipulate the workflow for the document ... the document history contains events automatically recorded by the document management system; see ¶¶ 0055-0057*); and

wherein the metadata (e.g., *application data as well as meta-data*) comprises all associated metadata pertaining to each time the meta-document is processed by the application program being executed by the data processing system during the entire life of the meta-document (*see ¶¶ 0036-0038 and 0048*), the

Art Unit: 2176

metadata being stored on the meta-document each time the meta-document is processed (e.g., *Another collaborative tool accessible to the client is the document history file ... view and manipulate the history of the document and view and manipulate the workflow for the document ... the document history contains events automatically recorded by the document management system; see ¶¶ 0048-0057*).

**As to claim 2:**

Cohen teaches information pertaining to transformation of the document information (e.g., *distributes documents; see ¶¶ 0022, 0039, and 0057*).

**As to claim 3:**

Cohen teaches a user comment to the document information (e.g., *another user, "Liz Kendra" has created an electronic note relating to the document upon she was working; see ¶ 0054*).

**As to claim 4:**

Cohen teaches information pertaining to distribution of the meta-document (e.g., *this data about activities ... distributes documents; see ¶¶ 0022-0024, 0039, and 0057*).

**As to claim 5:**

Cohen teaches the application program is embedded on the object (*e.g., objects 28 contain application data; see ¶ 0036*).

**Claim Rejections - 35 USC § 103**

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

*(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.*

*This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).*

Claims 6-16 are rejected under 35 U.S.C. 103(a) as being unpatentable over

**Cohen et al.** in view of **Dourish et al.**, “*Freeflow: Mediating Between Representation and Action in Workflow Systems*,” November 1996, pp. 190-198.

**As to claim 6:**

The rejection of claim 1 is incorporated herein in full. Additionally, claim 6 recites

*“transmitting the meta-document to a source; parsing the meta-document, at the source, for*

*extracting stored processing information and metadata; and storing processing information pertaining to transmitting and parsing at the source and associated metadata on the meta-document.”*

Cohen teaches transmitting the meta-document to a source (*e.g., the history data file or document meta-data ... propagated to other users ... such as document “sent to apposing counsel”; see ¶ 0037*).

Cohen does not specifically teach “*parsing the meta-document, at the source, for extracting stored processing information and metadata; and storing processing information pertaining to transmitting and parsing at the source and associated metadata on the meta-document.*”

Dourish teaches parsing the meta-document, at the source, for extracting stored processing information and metadata; and storing processing information pertaining to transmitting and parsing at the source and associated metadata on the meta-document (*e.g., the goal state and work backwards, to determine which sequences of operations, or paths of activation ... for investigating alternative strategies for accomplishing activities; see section The Sequence Dimension; page 191*).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the teachings of Cohen with Dourish because it would have provided the



Art Unit: 2176

capability for improving awareness of the status of a task and collaboration among users involved in a task.

**As to claim 7:**

Cohen teaches a tool, embedded on the object, responsive to a processing of the meta-document, for generating and storing processing information and associated metadata on the meta-document, wherein the parsing step is performed by the tool (e.g., *objects 28 contain application data ... accessible through various application programs 32 residing on and executable by the client 12 ... retrieves data from the task, document and user objects ... contain a set of collaboration software tools 38 which interface with the applications 32 ... to initiate collaborative work with other users or manipulation of documents; see ¶¶ 0036 and 0037*).

**As to claim 8:**

Refer to the discussion of claim 7 above for rejection.

**As to claim 9:**

Refer to the discussion of claim 7 above for rejection. Additionally, Cohen teaches a second tool (e.g., *collaborative tools, such as, document sharing; see ¶¶ 0024, 0037, and 0052*).

**As to claim 10:**

Refer to the discussion of claim 7 above for rejection.

**As to claim 11:**

The rejection of claim 6 is incorporated herein in full. Additionally, Cohen teaches a plurality of sources, each source located at a different location (*see ¶¶ 0037, 0039, and 0057*).

**As to claims 12-16:**

Refer to the discussions of claims 2-6 above, respectively, for rejections.

### **Response to Arguments**

5. Applicants' arguments filed 05/18/2007 have been fully considered but are moot in view of the new ground(s) rejection.

### **Conclusion**

6. The prior art made of record, listed on PTO 892 provided to Applicant is considered to have relevancy to the claimed invention. Applicant should review each identified reference carefully before responding to this office action to properly advance the case in light of the prior art.

**Contact information**

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Maikhanh Nguyen whose telephone number is (571) 272-4093. The examiner can normally be reached on Monday - Friday from 9:00am – 5:30 pm. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Doug Hutton can be reached at (571) 272-4137.

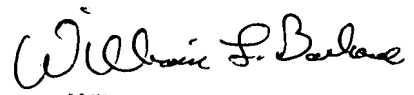
The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

**Any response to this action should be mailed to:**

Commissioner for patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

MN

  
**WILLIAM BASHORE  
PRIMARY EXAMINER**